CHAPTER 2 - GENERAL CONDUCT OF THE SURVEY

ROLES AND RESPONSIBILITIES

States have primary responsibility for reviewing and updating data in the CWNS. This responsibility includes entering new facilities, updating existing data, providing geographic information, and as appropriate completing migration of data from the former database that could not be automatically migrated to the modernized CWNS database. Fortunately, with the introduction of the new CWNS database, States have more control and greater flexibility in scheduling and planning their data collection effort. As stated earlier, any questions from States concerning the CWNS 2000 should be directed to the Regional CWNS Coordinators. If the problem is not resolved, the Regional CWNS Coordinator will contact the Lead Regional Coordinators or EPA Headquarters. Table 2-1 summarizes the major activities and responsibilities for each of the participants in the CWNS 2000.

OVERALL APPROACH

CWNS 2000 Data Collection Effort

For the CWNS 2000, States are responsible for collecting cost and technical data and entering the data into the computer. (The companion *CWNS 2000 Database User Guide* provides detailed instructions for entering all data.) For many states, some of the data to support needs and cost estimates are available from SRF or similar files. However, simply entering data on needs and costs from your readily available files will limit the power of the CWNS database.

The CWNS database provides tremendous flexibility to enter and report cost and technical data for a wide range of water pollution control projects.

Today's CWNS database provides tremendous flexibility to enter and report cost and technical data about a wide range of "facilities" from traditional wastewater treatment to the development and implementation of NPS source management programs for conservation tillage. By compiling cost and technical information such as location, flows, population served, and effluent characteristics across the various programs in your State, you can use the CWNS database to help you manage and track your State's pollution control resources. One example might be to facilitate the development of Total Maximum Daily Load (TMDL) implementation plans through reports that summarize ongoing or planned projects within a given watershed.

To fully use this potential, it is likely that you will have to go beyond the SRF files. Thus data collection, begins with networking with a number of your colleagues, not only in your agency, but also in other agencies in your State. This networking effort enables you to more easily acquire technical data and

Table 2-1. Major Activities and Responsibilities

EPA HEADQUARTERS

- OVERALL MANAGEMENT OF THE CWNS DATABASE
  - Review State-supplied CWNS data (along with the contractor) to ensure their accuracy
  - Coordinate database training sessions with Regional Coordinators
  - Provide assistance to Lead Regional Coordinators in handling database concerns
  - Prepare final CWNS 2000 Report
- OVERSEE DAILY PROCEDURES/POLICIES OF THE CWNS 2000
  - Manage CWNS 2000 contractors
  - Act as final arbitrator in disputes
  - Assist in site visits
  - Ensure national consistency by establishing sound policies/procedures for CWNS 2000

REGIONS

- ASSIST EPA HEADQUARTERS IN REGIONAL MANAGEMENT OF THE CWNS 2000
  - Provide user support to States
    - * Provide database training to States
    - * Assist States with basic database questions
  - Arbitrate State-contractor disputes
  - Assist in site visit planning
  - Assist EPA Headquarters with data review
  - Assist EPA Headquarters/contractor with analysis of State-supplied facility data to ensure their accuracy
  - Provide input on major CWNS concerns of the States

STATES

- UPDATE/REVIEW CWNS DATA
  - Collect State data for existing and new categories of needs
  - Enter data on new facilities, analyze current data, and update cost and technical information
  - Provide geographic (locational) data for each facility
  - Complete migration of data from former database
  - Update old facility documentation
  - Input data into the CWNS 2000 database

STATES (continued)

  - Submit facility documentation to contractor
  - Adhere to schedule for updating facilities data
  - Address questions regarding data anomalies
  - Maintain data used to model Category V needs

WORKGROUP MEMBERS

- RECOMMEND PROCEDURES/POLICIES FOR THE CWNS 2000
  - Address traditional CWNS (Categories I-V) concerns
    - * Updating 1996 cost estimates/redocumentation
    - * Improving technical data updates
  - Assist in developing Categories VI, VII, XIII, and IX
    - * Strategies for estimating resources
    - * Survey of available data
  - Advise EPA on database modernization
  - Assist in the development of methods to estimate expanded eligibilities

CONTRACTOR

- ANALYZE STATE-SUPPLIED CWNS DATA
  - Review State-supplied facility data to ensure their accuracy
  - Ensure national consistency through established documentation procedures
  - Perform quality assurance checks on needs and population data
  - Analyze needs estimates at the end of data collection
  - Prepare draft CWNS Report
- PROVIDE CWNS ADMINISTRATIVE AND TECHNICAL SUPPORT
  - Provide user support to States (with assistance of Regions) on issues related to the database
  - Assist EPA in maintaining database and correcting programming errors
  - Provide advice to EPA Headquarters and guidance to Regions on technical issues involving the CWNS
  - Arrange CWNS meetings (briefings, start-up, mid-survey, etc.)
  - Implement EPA policy
  - If needed, revise cost estimates for nonpoint source and storm water controls

To make full use of the potential of the CWNS database, you should coordinate with colleagues in your agency as well as other agencies in your State.

additional information on needs and cost estimates that your State might have overlooked in past Surveys but are critical for integrated water pollution planning. For example, getting the latest locational information on facility discharges from your agency's GIS group will greatly ease your data entry burden.

In past Surveys, some States performed an "in-state" survey to target their special requirements. During the 1996 CWNS, for example, some State CWNS Coordinators distributed State or model survey forms to small communities at the beginning of the data collection period. These forms helped communities to provide the information requested and allowed the State CWNS Coordinators to enter the data in a timely fashion. Chapter 4 Small Community Needs Data Collection provides more details on collecting information for small communities. Chapters 5 and 6 provide guidance on collecting data for wet weather and NPS facilities, respectively. In particular, Chapter 6 gives you a NPS data collection sheet to help ensure that you gather all the applicable data before sitting down at your computer to enter data for NPS facilities.

Data Improvements

The major objectives of the CWNS 2000 are presented on page 1-3. Many of these objectives, either directly or indirectly, are related to maintaining or updating the cost and technical data using the most current planning documents available. To achieve these objectives, the following data improvement priorities have been established:

- The inventory of facilities should be complete for each State.
- The facility nature, facility change, and if applicable, effluent level of each facility should be up-to-date.
- Documented costs for existing and new categories of needs should be updated with particular emphasis on documenting storm water and NPS needs.
- Facilities with needs supported by old documentation must be redocumented. This includes updating documentation for
  - Facilities with total needs greater than $20 million (year 2000 dollar base) and documentation dated prior to January 1, 1994 and
  - **All** facilities with needs and documentation dated prior to January 1, 1990 regardless of the dollar amount of needs.
- Facilities with data that were not transferred automatically from the 1996 CWNS should be reviewed, corrected, and entered data into the CWNS database.
- Geographic (locational) data should be provided for all facilities.
- The technical data, such as population, flow, effluent concentrations, and unit processes, should be as accurate as possible.
- Technical data for combined sewer systems should be reviewed and updated, if necessary.

State Data

The CWNS database allows States to input, maintain, and conveniently access Separate State Estimates. Separate State Estimates include SRF-eligible needs that cannot be documented using the criteria described in Chapter 3 and non-SRF-eligible needs. Note that needs related to Category VIII, *Confined Animals-Point Source* and Category IX, *Mining-Point Source* are not SRF-eligible and would be recorded as Separate State Estimates. Separate State Estimates are kept separate from the needs that are SRF-eligible and can be documented using the criteria described in Chapter 3. As in the past, **Separate State Estimates are "in addition to" SRF-eligible costs that can be documented.** States can also enter annual O&M costs into the CWNS database.

Documentation of Needs and Cost Estimates

SRF-eligible costs must be supported with project-specific information to document a water quality or public health problem.

For national consistency, States are required to justify SRF-eligible costs by providing documentation of a water quality or public health problem to EPA for approval. The problem must be current and the documentation project-specific. In addition to documenting a need, the documentation must also identify the solution, cost, and basis for the cost estimate. Site-specific data, not general estimates, are used to develop costs for each solution. The basis for the cost estimate identifies the source of the cost (e.g., engineer's estimates, costs from comparable practices, estimates from equipment suppliers) for each solution. To support this effort, EPA, in conjunction with the States, has developed a list of documentation types that States must use to justify needs. Beginning in the CWNS 2000, the location must also be identified with either a single latitude/longitude point or described with a polygon of multiple latitude/longitude points. If these data are not available, the cost may be included as a Separate State Estimate.

For the 1996 CWNS, the Workgroup developed special procedures and a model survey form to further facilitate the documentation of small community needs. Refer to Chapter 4 for these procedures. See Chapter 6 for an NPS data collection sheet that identifies the data needed to enter an NPS facility.

Facilities with needs supported by old documentation must be redocumented. This includes updating documentation for facilities with total needs greater than $20 million (year 2000 dollar base) and documentation dated prior to January 1, 1994 and **all** facilities with needs and documentation dated prior to January 1, 1990 regardless of the dollar amount of needs. Needs meeting these criteria that are not redocumented will be deleted from the database.

A facility will not be reviewed until the contractor receives the appropriate needs and cost documentation. Additional details on documenting needs and costs are provided on page 3-22.

KEY DATES AND MILESTONES

Figure 2-1 shows the key dates and milestones critical to the successful completion of the CWNS 2000. Data collection for the CWNS 2000 can begin as early as April 3, 2000. As described earlier, a substantial amount of data collection goes on before data entry can begin. The CWNS database will be open for States to update data starting May 15, 2000.

States will have until February 19, 2001, to enter data for the CWNS 2000. **No time extensions whatsoever for data entry will be granted.** In addition, documentation [not] submitted to the contractor after February 26, 2001 will not be accepted. Unlike the previous Surveys, States will be able to continue to enter data after February 19, 2001; however, that data will be used in the next cycle of the CWNS.

Figure 2-1. CWNS 2000 Key Dates and Milestones Chart

Task Name	Time	Start	Finish
Implement CWNS 2000	**443 days**	**3/26/00**	**6/11/01**
State Training/Kickoff Meeting	6 days	3/26/00	3/31/00
Update the CWNS 2000 Database	323 days	4/3/00	2/19/01
Data Collection	281 days	4/3/00	1/8/01
Data Entry	281 days	5/15/00	2/19/01
Deadline for Documentation to Contractor	0 days	2/26/01	2/26/01
QA Data	351 days	6/26/00	6/11/01
Prepare Report to Congress	**291 days**	**1/29/01**	**11/16/01**
Outline Report	64 days	1/29/01	4/2/01
First Draft	43 days	4/2/01	5/14/01
State Review (no numbers)	29 days	5/21/01	6/18/01
End of Survey Meeting	0 days	7/16/01	7/16/01
Final Draft	29 days	7/17/01	8/14/01
Administrator's Signature	0 days	11/16/01	11/16/01